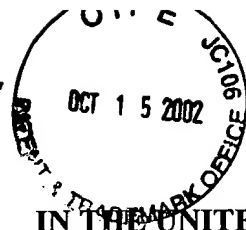


RJP/JT



ATTORNEY'S DOCKET NO: C01104/70015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell,  
Alfred Ducharme, Ralph Osterhout, Colin Piegras, George G. Mueller, and  
Dawn Geary  
Serial No: 09/805,368  
Confirmation No.: 1552  
Filed: March 13, 2001  
For: LIGHT-EMITTING DIODE BASED PRODUCTS  
  
Examiner: Unassigned  
Art Unit: 2811

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 7th day of October, 2002.

  
Janine Michalski

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

**PART II: Information Cited**

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

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PART II: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

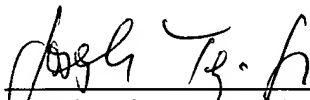
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

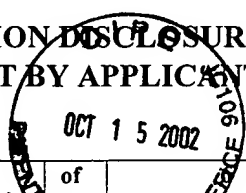
Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,  
**Kevin J. Dowling et al., Applicants**

By:   
\_\_\_\_\_  
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Attorneys for Applicants

Docket No. C01104/70015 (RJP/JT)  
Dated: October 7, 2002

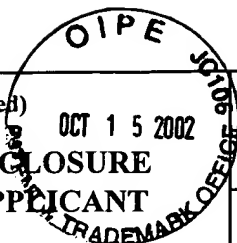
FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,368	ATTY. DOCKET NO.: C01104/70015
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> 		FILING DATE: March 13, 2001	
		APPLICANT: Kevin J. Dowling, et al.	
		GROUP ART UNIT: 2811	EXAMINER: Unassigned
Sheet	1	of	

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Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
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FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,368		ATTY. DOCKET NO.: C01104/70015	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		FILING DATE: March 13, 2001			
		APPLICANT: Kevin J. Dowling, et al.			
		GROUP ART UNIT: 2811		EXAMINER: Unassigned	
Sheet	2	of	6		



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FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,368		ATTY. DOCKET NO.: C01104/70015	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		FILING DATE: March 13, 2001			
		APPLICANT: Kevin J. Dowling, et al.			
		GROUP ART UNIT: 2811		EXAMINER: Unassigned	
Sheet	3	of	6		

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FORM PTO-1449/A and B (Modified)				APPLICATION NO.: 09/805,368		ATTY. DOCKET NO.: C01104/70015	
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				APPLICANT: Kevin J. Dowling, et al.			
				GROUP ART UNIT: 2811		EXAMINER: Unassigned	
Sheet	4	of	6				

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		GROUP ART UNIT: 2811		EXAMINER: Unassigned	
Sheet	6	of	6		

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		* Newnes's Dictionary of Electronics, Fourth Edition, S.W. Amos, et al., Preface to First Edition, pp. 278-279		
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		Co-Pending Application Serial No. 09/971,367, filed October 4, 2001, entitled "Multicolored LED Lighting Method and Apparatus," our File No. C01104/70082.		

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in prior applications:

Serial No. 09/669,121, filed September 25, 2000;  
 Serial No. 09/425,770, filed October 22, 1999;  
 Serial No. 08/920,156, filed August 26, 1997;  
 Serial No. 09/213,540, filed December 17, 1998;  
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Serial No. 09/215,624, filed December 17, 1998;  
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 Serial No. 09/213,189, filed December 17, 1998;  
 Serial No. 09/626,905, filed July 27, 2000;  
 Serial No. 09/213,537, filed December 17, 1998;

which are relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

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				GROUP ART UNIT: 2811	EXAMINER: Unassigned
Sheet	5	of	6		

**FOREIGN PATENT DOCUMENTS**

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
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**OTHER ART – NON PATENT LITERATURE DOCUMENTS**

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)	
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